Concordat to Support the Career Development of Research Staff

Update on UCLan's 2015-17 Action Plan
Backward looking document

	Concordat Area and Issue	Forward Plan/ Measure of Success 2015-2017	Update at 2016	Update at 2017
	A. Recruitment and Selection			
A1	Members of the research community understand researchers are chosen for their ability to advance research.	Maintain appropriate details in accordance with best practice and any relevant legislation and review annually in September. Next review September 2016.	All teaching and research, and research only job descriptions and person specifications were reviewed for every post advertised in 2016 and all reference the ability to advance research	The University is committed to home-grown talent and a key feature of this initiative is to advertise internally in the first instance unless exceptional circumstances apply. All research positions have a job description and person specification detailing the experience, skills and abilities required for the role. The University continues to have transparent processes and shortlisting and selection is undertaken in accordance with published guidance.
A2	Recruitment and selection processes are informative, transparent and open to all qualified applicants	Maintain appropriate details in accordance with best practice and any relevant legislation and review annually in September. Next review September 2016	To support home grown talent, all vacancies are advertised internally before being posted externally and a new online application portal being considered by HR to widen opportunity for staff to apply for jobs.	Guidance provided to applicants specifies the process for shortlisting, interviewing and appointment and is clear and transparent. Roles are always advertised on our intranet, and if no internal candidates come forward, then posted on the external internet page. Any queries can be directed to HR for response.
A3	Person and vacancy specs must clearly identify the skills for the post, and these must be relevant to the role	Maintain appropriate details in accordance with best practice and any relevant legislation and review annually in September. Next review September 2016.	All person and vacancy specs updated to include the newly agreed University values	Content of job descriptions and person specs are reviewed as part of the HERA process prior to advert. Any issues are flagged with the recruiting manager before an advert goes live. Applicants will be shortlisted on the way in which they have evidenced essential and, as appropriate, desirable criteria.
A4	Recruitment and progression panels should reflect diversity as well as a range of experience and expertise. Recruitment & selections panels should have received relevant recent training. Unsuccessful candidates should be given appropriate feedback if requested.	Next review due August 2016 of impact assessment. Results are not published, however, actions are interpreted into the Athena Swan action plan which is updated every six months by the Athena Swan self assessment group. The next meeting of this group is 30th June 2016. There are assessment groups at both University and College level. Plans are in place for a 2017 Institutional submission for Silver, but this is contingent on achieving Departmental awards of Bronze, two of which are being submitted in the areas of Biomedical and Health and Wellbeing in November of 2016. The measure of success will be the achievement of Bronze status for these, followed by Institutional Silver.	The Faculty of Heath and Wellbeing were awarded Athena Swan Bronze in 2016. The Faculty of Clinical and Biomedical Sciences were unsuccessful in achieving Bronze.	The Athena Swan submission document generated positive feedback including a strong commendation for the university's focus on diversity in the selection of recruitment panels. Furthermore, 100% of Chairs of recruitment panels have been trained in Recruitment and Selection techniques which includes Equality and Diversity. Internal candidates now all receive feedback and support to put a development plan in place as part of the Home Grown Talent initiative.
A5	The level of pay or grade for researchers should be determined according to the requirements of the post and be consistent with pay or grading in the organisation as a whole.	Pay and grading of all posts are determined by the job role and assessed against the HERA job evaluation system.	All HR staff involved in the advertising and recruiting of vacancies have been trained in HERA job evaluation (by ECC). All trade union representatives also trained.	Content of job descriptions and person specs are reviewed as part of the HERA process prior to advert and there are generic job descriptions to ensure consistency of grading and content. A copy of a generic job description is available upon request. Any issues or inconsistencies are discussed with the recruiting manager to address before advertising. Existing posts are all subject to HERA grading and comply with the national pay framework. Research posts graded above the national pay grades are reviewed by one team for the whole university, to ensure consistency of application of the job evaluation system. If the requirements for a post change, the grade is reviewed by the same team. From April 2017, public sector employers are required to report on their gender pay gap annually with first set of figures due in March 2018.
	B. Recognition and Value			
B1	Value and afford equal treatment to all researchers. In particular, the development of researchers should not be undermined by the instability of employment contracts.	The University Appraisal Scheme includes a commitment to develop researchers beyond the life of their current contract. All researchers have equal access to development.	Open access to all development opportunities continued including annual re-subscription of online development resource called Performance Assistant available to all Research staff regardless of contract.	UCLan follows national legislation in regard of all contracts, fixed term and indefinite. All staff have the same access to development and training opportunities and appraisal processes. UCLan upholds the commitment to develop researchers 'beyond the life of their contract' through appraisal discussions and regular 121 meetings. 86% of responders to the recent staff survey had an appraisal discussion in the past twelve months. No distinction is drawn between contract types other than end date, on any aspect of employment or development.

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B2	Everyone involved should be committed to improving the stability of employment conditions for researchers. Implementing and abiding by the Fixed Term Employee Regulations	FTCs for all staff employed in this manner are reviewed annually each summer, with the current review underway. If any opportunities to convert are spotted e.g. the work continuing beyond the period defined by the original fixed term contract, the contract will be converted to indefinite at that time. The University hopes to phase out the majority of FTCs wherever possible, and the percentage of staff on these at the University continues to drop - though acknowledges that these will remain for certain tasks that are of a limited period duration in nature.	The number of FTCs in August 2016 is 105 with 20 of those being made permanent. Where FTCs are a consequence of externally funded projects, the University supports staff through appraisals and available training to develop skill and knowledge to enhance the potential of future opportunities.	The University abides by the Fixed Term Employee Regulations and is committed to the continuous review of any new and existing fixed term contracts to ensure that they remain appropriate. The rationale for each contract is scrutinised on an at least an annual basis and conversion to indefinite contracts is completed where appropriate. Where a member of staff legitimately remains employed on a fixed term contract, the University ensures that there are appropriate development plans in place to support the employee in obtaining any permanent positions that arise at the University. These development plans link to appropriate career pathways, and are monitored by HR Business Partners. The number of FTCs in August 2017 is 74 with 15 of those being made permanent.
B3	Research managers participating in active performance management. This includes career development guidance and supervision.	Training needs identified from the annual appraisal exercise and the interim appraisal exercise at the six month point are shared annually with training and development staff for researchers. In this way, they can be incorporated into the training programme for the forthcoming academic year. The next sharing of this information will be via the newly appointed College Directors of Research and Innovation, with the Research Development and Support team, in October of 2016 and annually thereafter.	The outcome of the October 2016 review was that a form for supporting appraisals for Researchers be implemented. A group of researchers were involved in the design phase. A key theme identified in appraisal discussions was leadership development. This contributed to the HR development team undertaking a thorough needs analysis of leadership development needs across the University.	The appraisal scheme applies to all staff and encourages year-round discussions regarding career development and performance. There is a special form available on the intranet for researchers to record their discussions which tracks more detailed progress, goals, achievements and development. This was designed by researchers, for researchers. HR Business Partners support discussions at School level to identify common areas of development need, and also where under-performance is an issue to address. Research managers are then supported to take action by their HR Business Partner. Career development guidance and support is available to all staff through the university careers service, HR and Research Services. HR development continued with leadership development needs review across all 5 Faculties and began the design phase for activity
B3	Research managers should be aware of, and understand, their responsibilities for the management of researchers. Training should be provided, including equality and diversity training, to achieve this. Consideration given to how research managers' performance in these areas is developed, assessed and rewarded	Across the institution, meetings are being currently set up between the Executive Director of Research, HR Leadership and Development Manager and College Directors of Research and Innovation. It is planned that these meetings will be held once per semester as a minimum, and more frequently if required. The meetings will review the college's research workforce, their performance as well as opportunities for their CPD. The last meeting was held on 4th January 2016 and the next is scheduled for July 2016.	Due to organisational re-structure, the College meetings did not take place however support was still provided through monthly HR Business Partner meetings with College leadership teams. Equality & Diversity Training was mandatory for all staff. From meetings with key stakeholders including Research, the HR development team began work on a comprehensive Leadership Development Programme.	A programme of manager learning is currently being developed to help research managers understand their role and create a positive environment for researchers to thrive. Equality, Diversity and Inclusion training is mandatory for all staff and this is monitored through regular reports to managers who take responsibility for ensuring completion. Research Faculty Directors take responsibility for overseeing the performance of Research Managers, along with School Heads. Reviews of appraisal discussions, common development needs and achievements is undertaken at School level involving both Head and Director.
B4	Organisational systems capable of supporting continuity of employment for researchers	FTCs for all staff employed in this manner are reviewed annually each summer, with the current review underway. If any opportunities to convert are spotted e.g. the work continuing beyond the period defined by the original fixed term contract, the contract will be converted to indefinite at that time. The University hopes to phase out the majority of FTCs wherever possible, and the percentage of staff on these at the University continues to drop - though acknowledges that these will remain for certain tasks that are of a limited period duration in nature.	All measures are used to support continuity of employment for researchers such as vacancies advertised internally as a priority and career development offered through our career services and redeployment opportunities. The number of fixed term contracts in August 2016 is 105 and the number of those made permanent is 20. All staff contracts were fixed for the term of the research project only unless the contract was changed to an extended or permanent post as appropriate for the project/role.	The University abides by the Fixed Term Employee Regulations and is committed to the continuous review of any new and existing fixed term contracts to ensure that they remain appropriate. The rationale for each contract is scrutinised on an at least annual basis and conversion to indefinite contracts is completed where appropriate / possible. Where a member of staff remains employed on a fixed term basis, the University seeks to ensure that there are appropriate development plans in place so as to support the employee in obtaining any permanent positions that arise at the University. These development plans link to appropriate career pathways. There are organisational systems for re-deployment should alternative employment be appropriate at the end of a fixed term contract. The number of fixed term contracts in August 2017 is 74 and the number of those made permanent is 15. All staff contracts are fixed for the term of the research project only unless the contract is changed to an extended or permanent post as appropriate for the project/role.

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B5	Transparent pay progression in accordance with agreed procedures.	The responsibility for convening this process has moved as a result of the restructure, and is managed by the Executive Director of Research in conjunction with the VC and HR. A call has recently gone out, and the first round of meetings to review applications and references will be held on June 7th and June 15th, with a second round to finalise the judgements on 27th July 2016. Furthermore, the criteria for progression to either Reader or Professor are being reviewed, to broaden those terms and allow applications from staff with considerable and demonstrable expertise in pedagogy as opposed to the previous restriction of a purely research based portfolio. This review is ongoing currently, and it is anticipated that new criteria will be announced and available for the next call in May/June 2017. Furthermore, equal pay audits are done annually in September of each year, with HR having scheduled the next one to be undertaken in September 2016. Outcomes of this goes to the University Senior Leadership Team and are also reported to the Athena Swan self assessment team.	The review of criteria for progression to either Reader or Professor was completed and the criteria broadened to open further access to routes and opportunities.	All researchers progress equally with increments on the salary scale until the top of the grade, national annual pay rises or established promotions processes. Promotions criteria is promoted to all researchers and available on the intranet. Career progression is monitored (anonymously) through the Athena Swan groups. Equal pay audits are conducted annually and the annual gender pay report is on our external website. In the application year 2016/17, there were the following number of successful applicantions; 10 Professors and 15 Readers.
B6	Researchers offered opportunities to develop their own careers. Clear career frameworks for early stage researchers outlined in HR strategy.	The RIO development framework (rioframework.org.uk) is currently off line and being reviewed by a focus group of College Directors of Research and Innovation, in addition to all contributors of the programme. This is in advance of the Appraisal review, and is to establish the ongoing appropriateness of each course, develop new courses - and determine dates for the 17/18 schedule. Scheduled events for 16/17 continue to run, and have been advertised via the University ITrent staff development web pages.	The career pages on the HR website outline the requirements to progress through the research career pathway. Academic Research Induction and training events ran throughout 2016, and all research staff were able to access this provision. Due to organisational re-structure, the RIO framework did not continue (but most of the individual training did) though all wider UCLan development opportunities openly available to all Research staff.	There are many development opportunities open to research staff, as all staff at UCLan. Researchers in particular are guided by the Vitae Researcher Development Framework to support progression, and can access face-to-face classroom learning, online resources including Lynda.com and Epigeum,as well as informal networks and learning groups across faculties, such as the Early Career Research Group.
B6	Researchers have access to additional pay progression. Transparent promotion procedures.	The responsibility for convening this process has moved as a result of the restructure, and is managed by the Executive Director of Research in conjunction with the VC and HR. A call has recently gone out, and the first round of meetings to review applications and references will be held on June 7th and June 15th, with a second round to finalise the judgements on 27th July 2016. Furthermore, the criteria for progression to either Reader or Professor are being reviewed, to broaden those terms and allow applications from staff with considerable and demonstrable expertise in pedagogy as opposed to the previous restriction of a purely research based portfolio. This review is ongoing currently, and it is anticipated that new criteria will be announced and available for the next call in May/June 2017. Furthermore, equal pay audits are done annually in September of each year, with HR having scheduled the next one to be undertaken in September 2016. Outcomes of this goes to the University Senior Leadership Team and are also reported to the Athena Swan self assessment team.	The review of criteria for progression to either Reader or Professor was completed and the criteria broadened to open further access to routes and opportunities such as innovation and enterprise, and teaching and learning.	Additional pay progression is available through the established promotions process, to Professor or Reader positions for either research, teaching and learning or innovation excellence. A diverse, representative panel govern the whole process and the procedure is transparent and fair, with feedback to all applicants. Workshops are held to explain the criteria and to help people consider applications.

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B6	Clear career frameworks for early stage researchers outlined in organisational HR strategies.	As per B6 (1) above, the RIO framework is currently under review with the intention of developing identified pathways for each research route e.g. Research Assistant, Associate, Fellow etc. The launch date for these new routes is planned for January 2017	The RIO framework review to identify and define pathways ceased to continue due to organisational re-structure. Clear guidance on career frameworks and paths for early stage researchers communicated on the HR intranet pages.	The Vitae Researcher Development Framework is what guides career development, supported by in-house provision which is aligned to job roles. The HR strategy for adopting the planned Academic Professional Apprenticeship will include a route for researchers. The HR website has career guidance showing the expectations at each grade and what is expected at each job level.
	C. Support and Career Development			
C1	Career Development which is comparable to, and competitive with, other employment sectors.	The research development and support team, through their involvement with ARMA, UKCGE, Vitae, AfRE, UKRIO and other bodies, continually benchmark provision to ensure that what is current in the sector is reflected in University briefings and/or training. In terms of take up, the University reports on Learning Development days per employee, where HR measure the learning recorded on ITrent. This information would be shared with College Directors of Research and Innovation in order that they could inform the preparation of line manager appraisals for researchers, ensuring meaningful dialogues were held on the development undertaken by each. This will be re-introduced for the appraisal timetable 16/17	Development days per employee no longer recorded and instead a drive to encourage the nature and diversity of all learning be captured instead, especially informal learning opportunities. This was through HR business partner conversations. Staff survey to take place in 2017.	Staff are regularly accessing 'career edge' which is our careers platform, and gaining guidance from careers staff alongside. Career development at UCLan is comparable to other sectors as demonstrated by our staff survey question "I have the opportunity for personal growth and development" 74% of responders agree, making it an 'area of strength' according to the survey provider Capita. UCLan no longer reports on 'development days per employee', as the majority of learning is not captured on the HR system due to the informal nature of much of the career development learning undertaken by researchers. Researchers also log their learning in other areas, such as professional body formats.
C2	Development of transferable skills through embedded training.	The University is also maximising on a tool developed by a member of staff called "Career Edge" which enables staff to engage in meaningful evaluations of their career development and in particular, transferrable skills. This is currently being rolled out through Colleges, and the roll out will continue into 2017/2018.	Career Edge rolled out across the University	Transferable skills development is available to all UCLan staff, and promoted to researchers through the existing networks, induction, appraisal and research meetings.
C3	Training, skills and competencies to carry out the funded project	The Head of Funding Development and Support and their team are proactive in the advertisement, via the University weekly newsletter, fliers, bespoke emails to research groups, and posters - of both the grant finder facilities e.g. Research Research (and more) - and lists weekly the calls for funding, and the results of calls responded to in terms of bid success. This actively educates and incentivises researchers, and has been found to work well in supporting the achievement of University targets which are measured at each meeting of the University Research and Innovation Committee. Weekly circulation to continue throughout 17/18 via AULookout, the staff internal news bulletin.	**Deciphering the Funding Opportunity Research Focussed** Jan 16 – 3 attended; May 16 – 3 attended Nov 16 – 8 attended **Applying & Searching for External Funding** Feb 16 – 10 attended; April 16 – 8 attended May 16 – 1 attended **Outcome Systems** Feb 16 – 3 attended **Drop in Session** Sep 16 – 1 attended; Nov 16 – 1 attended **Funding Workshop** Oct 16 – 1 attended; Dec 16 – 1 attended **FDS & YOU** Oct 16 - 3 attended; Dec 16 – 3 attended **How to submit an external bid at UCLan** Oct 16 - 7 attended **Funding Opportunities; ECR focus** Oct 16 – 3 attended **Funding Opportunities; International focus** Nov 16 – 4 attended	A wide range of development workshops, materials and online resources exist to support all researchers. Courses aimed at research students are now open to all staff too. The Funding Team carry out skills training, knowledge sharing and actively communicate with all researchers to aid competence in this area.

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C3	Support to develop the communications and other professional skills to be effective researchers and highly-skilled professionals in other fields.	The third day of the New Supervisor programme is to be extracted, and run in parallel with that programme, but delivered to researchers who may not as yet be looking to supervise. This will commence with the new training for researchers programme in September 2016, and evaluated with all training in June of 2017 to measure impact and effectiveness.	A programme of wider provision for researchers was available at that time through our Centre for Excellence in Learning & Teaching and through our PGR student resource. This includes for example, writing for publication, social media, confidence to present at conferences.	Development support includes how to talk about your research work, media training, support to develop an online profile, networking opportunities within and outside of the university which all develop professional skills.
C4	Access to professional, independent advice on career management.	Please refer to C1, C2 and C3 above	The UCLan Careers Service was available to all staff in addition to students and promoted by the HR Development Team through career and development advice, promotions and discussions.	The Careers Service supports all staff and is equipped to help researchers plan their careers. Careers staff operate to professional codes of practice and are independent sources of feedback, advice and support. The Researcher Development Framework is in use across all Faculties. Progression to Reader and Professor guidance is available on the intranet. The mentoring scheme supports researchers wishing to work on any area of their skills development or career progression
C5	Clear systems that help researchers to plan their career development.	In terms of "how" to record research career development, the Vitae Planner was piloted, but was evaluated as unpopular with staff as considered labour intensive. Consequently, the Itrent system for CPD internally was adapted to allow staff to not only record pre-arranged session attendance i.e. sessions booked and advertised by the University - but also record conference attendance/personal CPD/other - as they wished. This now provides an invaluable tool for purposes of appraisal and development dialogues with line managers.	Itrent training included in the University HR induction delivered to all new starters including research staff	Systems which help career planning are found on the HR webpages, which detail expectations, support and requirements of each job level. A guide to holding career conversations is also on the webpage. The appraisal process is key to career planning, and the researchers appraisal record form asks for this information, ensuring the conversation takes place.
C5	Assist researchers to make informed choices about their career progression by ensuring policies and processes for promotion and reward are transparent and clearly stated.	Please refer C1-4 above	Career progression discussions encouraged as part of appraisal and ongoing one-to-one informal meetings. Specific form to support Researcher appraisal discussions proposed and progression routes and development to support these available on the intranet.	The HR webpages house information on career pathways, promotion criteria and processes, expectations of each job level and support available for development.
C6	Research managers provide effective research environments for training and development of researchers, encouraging CPD.	The focus group looking at the RIO framework includes active researchers and Directors of Research and Innovation, amongst other colleagues and it is hoped that the development of identified pathways for research careers will further facilitate access, and further enhance take up. This will be reviewed during the period January - June 2017 - refer above for detail.(B6 - 3)	The RIO framework review to identify and define pathways ceased to continue due to organisational re-structure. Clear guidance on career frameworks and paths for early stage researchers communicated on the HR intranet pages.	Research management at UCLan has changed significantly in recent months, and the People Plan has a real drive to upskill all managers to ensure the development of their teams is maximised. Directors of Research are key to cascading expectations as do Heads of School, supported by their HR Business Partners.
C6	Planned induction programme for researchers.	Feedback for this has been recently evaluated, and it is clear that certain content is more fitting for Research Assistants and Associates than Professoriate. Consequently, an amended version will be launched in October 2017, with split sessions for targeted audiences. This will be reviewed throughout the year, and format considered again in June/July 2017.	Induction review in progress. All staff attend a HR induction session with guidance for local induction shared with staff and manager including an induction checklist. All new researchers are invited to attend an Academic Researcher Induction day where the support of the University Research Office and the Innovation and Enterprise Service is explored. These events are offerd 4 times per year, with an average attendance of 10 people.	All researchers participate in a welcome meeting with HR on their first day to share all the basic information required. Local induction is the responsibility of their line manager and is supported centrally by a online resources and HR guidance through business partners. A Research Induction Day is run by Research Services to guide all researchers through everything they need to know about the UCLan environment and how it all supports their research. All researchers are invited to the central induction event which runs monthly and includes a welcome from the vice chancellor and an introduction to each support service to help staff navigate the university.

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C7	Articulation of skills that should be developed to support career progression.	Please refer C1-5	Researcher development framework shared during research induction and skills discussed at appraisals and ongoing one-to-one meetings	The Researcher Development Framework articulates the skills required at each level, and is promoted, discussed and used to guide development in each faculty. Feedback of the skills needed to be developed is shared during and after the progression process for Readers and Professors. All applicants are encouraged to meet with their Faculty Exective Dean, Research Director and Head of School to discuss the feedback and take positive action in response. Applicants also submit a proposal for a 3 year plan that acts as a foundation for objectives if successful.
C8	Researchers are aware of local and national career development strategies.	Continue to provide meaningful and advised opportunities for career guidance for staff, by virtue of scheduled events in the training programme; appraisals with line managers; 1:1 mentoring and coaching - and review attendance annually to ensure take up. Continue to share publications from Government, RCUK and Professional Bodies and encourage Directors of Research and Innovation to support this cultural awareness also.	Publications, conferences, networking events, information and events from Vitae, professional bodies, ARMA and Research Councils are shared across Faculties by the Researcher Development Unit.	The Researcher Development Framework articulates skills required at each level, and is promoted, discussed, and used to guide development in each faculty. Local strategies are outlined on the HR website. Publications, conferecnes, networking events, information and events from Vitae, professional bodies, ARMA and research Councils are shared across Faculties by the Researcher Development Unit.
C9	Research Managers should actively encourage researchers to undertake CPD activity so far as is possible during the project.	As noted elsewhere, the appointment of School based Directors of Research and Innovation provides another conduit through which the centre can liaise effectively, ensuring information on CPD opportunities reaches all appropriate staff.	CPD identiifed as a key discussion in induction and included in local induction guidance for managers	All UCLan managers are being developed to enhance the experience of all team members in accordance with the UCLan values and inclusive leadership. Active development of each team member of part of this and the systems in place to support this include induction, appraisal and regular 121 meetings. Directors of Research are in place in each faculty.
C10	Appraisal systems for researchers.	HR will be evaluating the benefit of the specifically designed forms with Directors of Research and Innovation, following the appraisal cycle for 2015/16.	A new form was designed by Researchers as an additional resource to aid the existing appraisal form. This is optional and we found differing levels of use and preference across our research community.	86% of staff survey responders had an appraisal in the past twelve months, and of that number, 75% said it was useful to them. This needs improvement and so appraisal briefing sessions have been, and continue to be, rolled out across UCLan to guide managers to ensure a better experience. The recording form designed by researchers is updated each year and freely available on the intranet.
C11	Preparation for academic practice i.e. teaching and administration.	Furthermore, the University has implemented in full consultation and appropriately advertised, criteria for the appointment of academic staff which require them to possess or be near completion of a PhD on appointment.	Development activity updated by the Centre of Excellence in Learning and Teaching	The Centre for Excellence in Learning and Teaching runs a one-day course on the 'tricks of the trade', teaching and learning basics. There is an 'associates programme' which enables people to gain Associate Fellowship of the Higher Education Academy which is the level UCLan expects of researchers delivering small amounts of teaching.
C12	Training when researchers are engaged in supporting learning and teaching.	Continued monitoring through appraisal - though note point in C11 above.	Development activity updated by the Centre of Excellence in Learning and Teaching	The Centre for Excellence in Learning and Teaching runs a one-day course on the 'tricks of the trade', teaching and learning basics. There is an 'associates programme' which enables people to gain Associate Fellowship of the Higher Education Academy which is the level UCLan expects of researchers delivering small amounts of teaching. If researchers are responsible for teaching regularly they are supported to gain Fellowship of HEA through the taught provision of experienced evidence routes.
C13	Researchers should have input to policy and practice through appropriate representation at staff meetings and management committees.		Research staff actively involved in University wide staff experience groups and Professors and Readers are on the Academic Board. Academics sit on both the University and College level Research & Innovation Committees.	Researchers are represented on the University Committees at every level, and in faculties and schools as appropriate. Researchers are represented by the trade union UCU which works in partnership with management to enhance the culture at UCLan.

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C14	Availability of mentors in providing support and guidance for CPD.	Continue to advertise mentoring and coaching opportunities to staff via the circulation of regular information through the staff development bulletin sent weekly as part of AULookout.	The number of mentoring requests is not monitored within best practice guidelines for the scheme. However there is 100% success rate in matching mentees with mentors.	The UCLan mentoring scheme is open to all staff, and has 100% success rate in finding suitable mentors for all mentee applicants. The scheme is promoted in Faculties by HR business partners as a key CPD activity.
	D. Researchers Responsibilities			
D1&2	Researchers should develop increased capacity for independent, honest and critical thought. Researchers should develop their ability to transfer and exploit knowledge.	Measures include REF, the achievement of Funding Targets, the release of publications to the University open access repository; the production of journal or conference papers, and the hosting of internal seminars across the University.	525 staff uploaded articles and journals papers and 93 staff uploaded conference papers to the university repository	See references to previous development opportunities outlined above in C
D3	Researchers should conduct and disseminate research in an honest and ethical manner.	To update the Code of Conduct to the Code of Conduct for Research and Integrity to reflect the recent discussions. To have this new Code approved and in circulation by September 2016, and to maintain the calendar of RISC meetings to ensure the development and monitoring of best practice.	The code was approved and circulated as planned. Where issues of research integrity were raised the process was followed and claims investigated.	The University subscribes to the principles of the Concordat for Research Integrity, and is in the process of demonstrating this compliance through detailed Web Pages. Five modules on Research Integrity have been purchased from the Epigeum suite - and all training includes reference to Data Protection, Freedom of Information, Insurance, IPR, Malpractice and Maleficence.
D4	Researchers should be aware that the skills and achievements required to move on from a research position may not be the same as the skills and achievements which they displayed to reach that position.		All requirements are detailed on job descriptions and person specifications. Skills are also explicit for each role (eg research assistant and research associate) and available on the staff intranet. All opportunities are clear which level of researcher (and associated skills) are needed and detailed as essential and desirable criteria.	Expectations, skills and knowledge required at each job levels stated on the HR webpages.
D5	Researchers should recognise that their primary responsibility for managing and pursuing their career is theirs. Seek out opportunities for learning and development.	Measurement of individual learning days - and reports made available to Directors of Research and Innovation for the appraisal cycle 2016/17 and beyond.	Itrent training included in the University HR induction delivered to all new starters including research staff. Self led development is also included in appraisal training for managers to help them facilitate discussions.	The UCLan CPD policy states that career development is the individuals' responsibility, supported by managers and central services. Learning hours are no longer reported centrally, but discussed locally through appraisal, and recorded using an appropriate system for that researcher. All learning centrally administered is managed through the HR system and therefore recorded on their development record.
D6	Research managers should encourage CPD.		CPD is a recognised stage within the appraisal discussion and included in appraisal training for staff and managers	UCLan's leadership development work supports managers to actively encourage career conversations and regular CPD. Each appraisal discussion contains CPD and development plans are in place for each individual.
D6	Researchers should ensure that their career development requirements and activities are regularly discussed, monitored and evaluated.		CPD discussions are encouraged as part of ongoing and regular one-to-one meetings to support annual and interim appraisal discussions.	Researchers have been attending the appraisee briefings and are so prepared for their career development discussions with their appraisers. Career development activities are monitored and reviewed locally with their manager, and Director of Research as appropriate.

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D6	Researchers encouraged to record their CPD for presentation to future employers.	To allow Directors of Research access to the Itrent records for their researchers, to ensure that CPD and other activity can be monitored and reflected upon at the time of annual appraisal, and in any other dialogue with the researcher.	It was agreed that the approrpriate Academic leader (Faculty Director of Research or Head of School) access itrent learner records to support development conversations in appraisals and one-to-ones.	Researchers are encouraged to use the iTrent HR system to record their CPD,unless they have a preferred format or professional body requirements. The iTrent record can be cut-and-pasted into their appraisal form or any other document for ease of use.
	5. Diversity and Equality			
E1&2	Organisation takes positive steps to promote equality and to develop specific schemes and action plans to address specific issues of under-representation or lack of progression. Recruitment and retention of researchers from the widest pool.	Gold for Investors In People was successfully reviewed in November 2015 and resubmission for the Race Equality Charter Mark is planned for 2017. As noted above in relation to Athena Swan, the university aspires to submission for Silver, subject to the satisfactory achievement of Bronze at two departmental levels, currently being prepared for submission. Furthermore, the Equality and Diversity group meet at executive level to strategically review issues of under-representation, and this group meets four times per annum. The University abides by all advertising requirements stipulated by government and other bodies, and specifically targets, on occasion, female staff, disabled people and ethnic minorities by noting that applications from these categories are particularly welcomed. A research project has also been undertaken on the language of job advertisement, and how this language might affect or influence applications from different minority/under-represented groups.	The Faculty of Health and Wellbeing achieved Athena Swan Bronze. The Equality and Diversity Executive Group continue to meet regularly and the University has been a Stonewall Champion for over 10 years.	The Race Equality Charter Mark submission is now planned for July 2018. The Athena Swan institutional Bronze Award is being resubmitted in November 2017, along with a Silver submission from the Faculty of Health & Wellbeing. Institutional Self Assessment Teams for both Athena Swan and RECM have been convened and meet bi-monthly. A university level group (EDEG) is chaired by the Deputy Vice Chancellor to oversee all equality and diversity initiatives. The recent appointment of an Equality, Diversity, Inclusion and Communities Manager enhances the University's commitment to Equality issues, and work is ongoing to develop an E&D Team. The University has achieved re-accreditation as a Disability Confident Employer, and as a Mindful Employer, cementing our commitment to support staff with disabilities, and with mental health issues.
E3	Address the disincentives and indirect obstacles to retention and progression in research careers which may disproportionately affect some groups.	Focus groups to continue and an Equality Impact Assessment activity scheduled for September 2016.	Focus groups ceased to continue due to an organisational re-structure. However the University's commitment to EDI then led by awards and charters including the Race Charter Mark, Stonewall and Athena Swan.	As part of the Race Equality Charter Mark, race and ethnicity data is being examined and action plans will follow. Gender is being managed via the Athena Swan work and closer links are being made within the University between the teams with responsibilities in these areas.
E4&5	Respond flexibly to requests for changes to working patterns and resist instant refusals based on 'we don't do it this way here'.	The University scheme meets current legislation around the Right to Request flexible working, and 100% of requests are responded to within timescale. HR will challenge managers in the event that they believe a request has been wrongfully denied, thus retaining objectivity.	All staff are informed reasonable requests to flexible working will be considered. Staff are advised how to do this via the HR intranet as well as HR advice on how to approach requests and raise converns. Whilst there is a formal process, informal agreement locally and without HR's invovlement is encouraged in the best interests of all involved.	The vast majority of flexible working requests are resolved locally. Any which require a formal process are supported by HR and 100% of requests are dealt with within published timescales. HR Business Partners challenge managers in the event that they believe a request has been wrongfully denied, thus retaining objectivity. Current data shows that 95% of requests are granted when HR become involved.

	Concordat Area and Issue	Forward Plan/ Measure of Success 2015-2017	Update at 2016	Update at 2017
E7	Transparent equal opportunity policy at recruitment and at all subsequent career stages. Diversity reflected in selection and evaluation committees.	Unconscious bias training is now in place, implemented since the date of audit, and has received positive attendance and feedback. The roll out to those staff involved in recruitment and selection panels continues to be the current priority, with a broader roll out to all staff envisaged in 2016/17 and beyond.	Unconscious Bias training mandatory for all staff involved in recruitment and selection of staff and making recruitment decisions.	A robust equal opportunity policy is in place for all appointments and all recruiting managers are trained in equality and diversity as well as recruitment good practice. The UCLan gender diversity profile is reflected in the make-up of selection panels and evaluation committees. This was commended in our institutional Athena Swan submission.
E6&8	Account taken of researchers personal circumstances. Change policies or practices that directly or indirectly disadvantage such groups.	Ongoing review with Trade Unions. The HR Leadership and Development Manager regularly liaises, and annually reviews policies to ensure ongoing appropriateness. This will continue, and amendments will be made as required.	The HR Leadership and Development Manager continues to meet regularly with UCU and all agreed actions delivered	Managers do take account of researchers personal circumstances and respond flexibly where possible. Policy or practice changes required are managed by the existing channels of trade union partnership, HR Business Partnering or via the main university group Equality and Diversity Executive Group.
E9	Measures exist for discrimination, bullying or harassment to be reported without adversely affecting careers of innocent parties.	Continued use of policies and mediation facilities, as documented in the current Staff Handbook.	No bullying, harrassment or discrimination cases brought to mediation during 2016.	Well established process underpin the policy which applies to all staff. Mediation is available and alternative 'early dispute' methods are being trialled.No bullying, harrassment or discrimination cases brought to mediation during 2017.
E10	Consideration of participation in schemes such as Athena Swan Charter, the Juno project, and other initiatives.	Submission of two Departmental submissions and, subject to success, submission for Institutional Silver in 2017.	Athena Swan bronze awarded to the Faculty of Health and Wellbeing. The Faculty of Clinical and Biomedical Sciences were unsuccessful.	The University holds the Athena Swan Bronze Award, and is resubmitting in November 2017 to renew this award. One Faculty submission is also going in at Nov 2017.
	6. Implementation and Review			
	Undertake regular review of progress in implementing the principles of the Concordat via a Steering Group.	Since the introduction of College Directors of Research and Innovation, and College Research Integrity Committees, reporting has now been expanded to include these. Independent evaluations by the DRIO will also be undertaken, using access to Itrent staff records as mentioned previously in this update report.	The steering group met and then was reviewed following organisational changes.	A new Concordat Steering Group is being established as Research governance at UCLan is transformed. The first meeting is planned for Spring 2018.